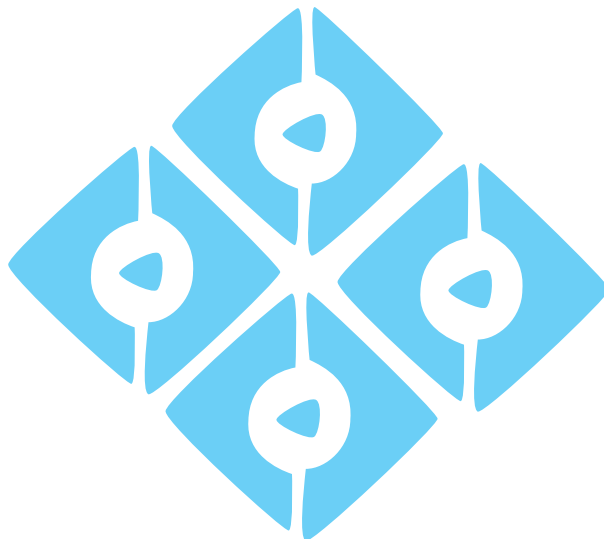


APPENDIX I: RECOMMENDATIONS STATUS REPORT

ADVISORY COMMITTEE ON VOLUNTARY FOREIGN AID



INTRODUCTION

The Advisory Committee on Voluntary Foreign Aid (ACVFA) is a federal advisory committee appointed by the USAID Administrator to provide guidance on the Agency's partnership with the private voluntary community. As required by the Federal Advisory Committee Act, the Committee holds public meetings to develop recommendations on advancing the partnership. From January 1994 through June 1997, ACVFA held a total of 14 public, quarterly meetings and dozens of Subcommittee meetings.

After each public meeting, the ACVFA Chair formally transmitted the Advisory Committee's recommendations to Administrator J. Brian Atwood by letter and in Quarterly Reports available through the Advisory Committee Secretariat. The ACVFA Secretariat, located in USAID's Office of Private and Voluntary Cooperation, developed this status report as a tool for tracking the impact of the Committee's work and for engaging Agency staff on pending issues.

Committee recommendations pertaining to USAID policy and operations affecting private voluntary organizations, and the dates of the quarterly meetings to which they correspond, are listed by topic area. Notations in the adjacent column indicate status on the recommendations, derived from the Administrator's response letters to ACVFA and from ongoing communication between the Committee and USAID. The recommendations of the final (fourteenth) quarterly meeting of the term on June 11, 1997 are not included in this report.

At the completion of its term, the Advisory Committee is impressed and gratified by the high degree of USAID responsiveness to its recommendations.

ACVFA RECOMMENDATIONS

I. USAID/PVO PARTNERSHIP ISSUES

A. PVO Policy

1. Review the draft guidance quickly within USAID and issue as policy guidance. [1/95]
2. USAID and ACVFA should undertake joint study and data collection regarding implementation of the cost-share policy. [12/96]
3. In the interim, Administrator should issue an Executive Message emphasizing flexibility and case-specific application. [12/96]

B. Principles for Assistance Instruments

1. The Administrator should sign them and transmit them quickly to USAID staff with his strong endorsement. [1/95]
2. Assign a lead office to coordinate USAID's review of the principles and to ensure that Handbooks and regulations are changed, where appropriate, so that the principles may be fully implemented. [1/95]
3. Incorporate instruction on the principles in training for Office of Procurement (OP) personnel, Mission staff, and central bureau personnel with responsibility for assistance instruments. [1/95]
4. Assign an office (perhaps Ombudsman's office) with task of establishing benchmarks for successful implementation of the reforms, monitoring progress, and facilitating action. [1/95]

C. Procurement Reform and Travel Regulations

1. The Administrator should sign off on a Policy determination establishing procurement principles. [10/94]

STATUS

done

Administrator agreed to study

done

done

done

done in part; OP staff have received training in grant management

done

done

STATUS

done	2. Commit to a procurement reform timetable. [10/94]
done	3. Establish internal communications mechanisms on procurement reform, which should be shared with external constituents. [10/94]
done in part	4. Establish mechanisms to track field implementation of procurement reforms. [10/94]
done	5. The Administrator should ensure that the new policy on approval of international travel under grants and cooperative agreements is reviewed quickly and, when finalized, is communicated clearly and implemented consistently. [6/95 and 10/95]
done	6. The draft guidelines on competition in the award of grants and cooperative agreements should be reviewed quickly in consultation with the PVO community, and steps taken to ensure implementation of the final guidelines. [6/95, 10/95, 6/96 and 9/96]
in progress in USAID/W and Missions; no formal, Agency-wide training package	7. Include PVO staff in training sessions on the new procurement systems and procedures [6/95]; and develop a training package for PVO staff and USAID Project and Technical Officers on new administrative procedures for grants and cooperative agreements, particularly as stated in 22 CFR 226. [10/95]
done	
not done	
no Bureau targets, but will be included in R4* and Bureau Based Budget Reviews; no award criteria	

D. Vice President Gore's "40% Commitment"

1. Provide an open accounting of the 27.7% base figure for USAID funding to PVOs. [6/95]
2. Articulate USAID's strategy for reaching the goal of programming 40% of Agency development assistance through nongovernmental groups in five years [6/95 and 6/96] and establish accountability mechanisms for increasing the percentage of development assistance through these organizations. [12/96]
3. Set up a transparent process for establishing annual targets by Bureau for programming USAID resources through PVOs/NGOs and tracking the agreed percentage within USAID's current coding and accounting system [10/95 and 12/96] and perhaps institute Bureau "Innovation Awards." [12/96]

*Annual USAID operating units' Results Review and Resource Request process

STATUS**E. New Partnerships Initiative (NPI)**

- | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ol style="list-style-type: none"> 1. Utilizing NPI as a central organizing principle, all USAID programs should be scrutinized to eliminate programming and administrative redundancy. The Administrator should issue strong guidance to all operating units on the imperative to build greater program efficiencies, economies, and synergies. [12/95] 2. In the event that a regionalization of USAID's field presence is inevitable, planning for such a transition should actively involve the Agency's partners. [12/95] 3. Involving partners and stakeholders, an examination of potential economies in the field should be accompanied by a similarly rigorous review of USAID/Washington. [12/95] 4. USAID should give far greater prominence to NPI and embrace the basic framework developed for NPI as a major organizing principle and basis for resource allocations. [12/95] 5. USAID should mainstream the programming of NPI into the Agency's policy and operational structures. Senior representatives from the geographic Bureaus should serve on an NPI steering committee as a precursor to actively engaging Missions in implementing NPI. [12/95] 6. Accelerate the process of selecting leading edge missions (LEMs) for NPI. [12/95] 7. Criteria for selection of LEMs should be linked closely with protocols designed to speed Agency-wide replication of NPI activities. These protocols should stress implementation and integration of NPI across sectors, and should provide program guidance on broadening NPI beyond its current emphasis on economic growth and democracy and governance. [12/95] 8. Exploit NPI's political appeal in USAID's Congressional strategy. [6/95 and 12/95] 9. NPI's relationship with USAID reengineering should be clarified and maximized. [6/95] 10. Clarify how USAID intends to finance and promote NPI in specific program circumstances, including in this period of shrinking resources. [6/95] | <p>done in part; NPI not fully mainstreamed</p> <p>N.A./no regionalization</p> <p>not done</p> <p>done in part; ongoing</p> <p>done in part; ongoing</p> <p>done</p> <p>done</p> <p>done in part</p> <p>in progress</p> <p>done; no NPI program fund</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

STATUS**done; ongoing**

- 11.** Continue to engage the PVO community during NPI's implementation phase. [10/95]

not done

12. Explore opportunities to reallocate resources to NPI, perhaps through savings achieved by reducing large projects and government-to-government transfers. [10/95 and 12/96]

in progress

13. Leverage hard financial resources for NPI from other donors. [10/95, 12/95, and 12/96]

F. Franchising/Strategic Partnerships**in progress**

- 1.** The Administrator should personally ensure that the concept of franchising is fully defined, and then pursued as far as possible within USAID's legislative and regulatory context. [6/95]

**USAID Working Group
appointed; changed
term; no specific focus
on PVOs/NGOs**

- 2.** The Administrator should designate an office to take the lead on further development of the concept of "franchising" (preferably changing the term), in the context of regionalization of USAID programs and the appropriate role for PVOs/NGOs. [10/95]

**USAID Working Group
appointed; consulted
with external partners**

- 3.** The Administrator should convene a high level, multi-bureau task force of USAID and PVO staff to proceed quickly with elaboration of the concept of franchising. [12/95 and 3/96]

**USAID Working Group
does not include part-
ners, but does include
Bureau reps.; process
now focusing on
internal consultation**

- 4.** Task Force should be comprised of representatives from all Bureaus, ACVFA, and other partner groups; should begin with a visioning process not limited to specific mechanisms; and should benefit from regional Bureau and PVO case studies of successful relationships in the field. [3/96 and 6/96]

done

- 5.** Drop the term "franchising" because it limits applicability of certain models and potential involvement of some groups. [10/95 and 6/96]

done

- 6.** The USAID Task Force should initiate its external consultations by clarifying what USAID wants to achieve in limited or non-presence countries. [6/96]

not done

- 7.** Examine modalities (not limited to the single, "franchising" emphasis on the representational function) on a country-by-country basis. [6/96]

STATUS

8. PVOs should not be considered “substitutes” for USAID, given their own distinct history, resources and comparative advantages. [6/96]

done in part; no analysis to date on partners’ comparative advantages

9. USAID should consult with partners, both in the field and in Washington, on programming in close-out countries. [6/96 and 9/96]

guidance on close-out consultation not yet issued; response letters say Missions to consult with partners

G. Re-engineering and PVOs

1. PVOs should receive training, ideally with USAID staff, on the new policies and procedures arising from re-engineering. [6/95]
2. Issue and disseminate a short briefing paper highlighting the critical junctures for PVOs in the re-engineering process. [6/95]

in progress

not done

H. Center for Development Information and Evaluation (CDIE) Study on USAID Management of PVO and NGO Programs

1. CDIE should share the draft study with ACVFA and other stakeholders. [6/94]
2. ACVFA should discuss CDIE study at October 1995 meeting and make comments and recommendations. [6/94]
3. CDIE should consider parallel studies on contractors and universities. [6/94]
4. The Administrator should assign a senior policy group to: follow up on the study’s recommendations, review which are to be accepted or rejected, establish action offices and timetables for those accepted, communicate its decisions to the PVO/NGO community, and ensure the recommendations are implemented. [10/94]
5. Disseminate the study widely within USAID and send a copy of the executive summary and recommendations to each Mission. [10/94]
6. CDIE should disaggregate its study data according to gender. [6/94]

done

done

done

not done

done

not done

STATUS**I. USAID/PVO Task Force**

- | | |
|--------------|------------------------------------------------------------------------------------------|
| done | 1. Proceed on 1993 USAID/PVO Task Force recommendations without more ACVFA input. [6/94] |
| done | 2. Include Task Force recommendations on Action Agenda. [6/94] |
| done in part | 3. ACVFA should receive periodic Action Agenda updates. [6/94] |
| done | 4. Approve Task Force cost-sharing recommendation. [6/94] |
| not done | 5. Develop consultation mechanisms re: close-outs. [6/94 and 6/96] |

J. A Study on the State of the USAID/PVO Partnership

- | | |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| done | 1. Join with ACVFA to commission a study on the State of the USAID/PVO Partnership. [6/96] |
| done | 2. Set clear, appropriate terms of reference for this new study, perhaps using the CDIE study, “Strengthening the Public-Private Partnership: An Assessment of USAID’s Management of PVO and NGO Activities,” and the 1993 ACVFA Report on “International Development and Private Voluntarism: A Maturing Partnership” as points of departure. [6/96] |

II. WOMEN AND SUSTAINABLE DEVELOPMENT**A. USAID Structure, Resources, Policies and Incentives; Gender Plan of Action (GPA)**

- | | |
|-------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| done in part; Framework to be revised after Strategic Plan final | 1. Examine the extent to which the Agency’s Strategic Framework fails to reflect the centrality of women’s empowerment to sustainable development, and thus provides inadequate models and guidance to operating units on adopting their own strategic objectives on women’s empowerment. [10/95, 6/96 and 9/96] |
| practices addressed during development of GPA; guidance not issued; GPA addressing tech. capacity through WID fellows program | 2. Review successful practices in the Regional Bureaus, e.g., having full-time gender advisors in ANE and LAC; issue guidance to replicate these; and develop or contract technical staff capacity on women in development in each bureau. [10/95] |

	STATUS
3. Review the extent to which USAID is collecting data disaggregated by gender, at both the budgetary and operating unit level [10/95]	done
4. Review use of incentives and rewards as means of helping to mainstream attention to women's empowerment. [10/95]	done
5. Women in development should be a high priority of the Administrator as a cross-cutting issue, requiring constant leadership, particularly in the Global Bureau, to assure that women's empowerment underlies all Agency programs. [6/94]	addressed by GPA and ongoing
6. USAID should disseminate the Gender Plan of Action within and outside USAID, describing the consultative process that led to its formulation. [3/96]	done
7. USAID should use the Plan to reach out to U.S. women's groups that are predisposed to learn more about and actively support development. [3/96]	requires additional focus
8. Further define WID program award fund and augment it with funds from other Bureaus. [3/96]	not done
9. The Counselor should review feasibility of individual awards to improve performance on gender. USAID should earmark Senior Executive Service and Senior Foreign Service bonuses for outstanding work on gender, and all USAID award criteria should reflect the Agency's commitment to empowering women. [3/96]	reviewed in devel. of GPA but decided awards not feasible
10. USAID should make special efforts to increase male participation in implementing the Plan. [3/96]	ongoing
11. USAID should ensure that the importance of women in development as a sustainable development issue, rather than as an equity issue alone, is fully recognized at all staff levels, utilizing a combination of USAID's personnel evaluation system and its procurement system. [3/96]	ongoing
12. Sufficient human and financial resources should be made available for full implementation of the Gender Plan of Action, as well as for accountability on its discrete elements. [6/96]	not done
13. USAID should continue to engage the Subcommittee and other external groups during implementation of the Plan. [9/96]	done; ongoing

STATUS

not done; no draft Policy

14. The draft USAID policy paper on Women and Development should be widely vetted with ACVFA and external partners. [9/96]

criteria being developed

15. ACVFA looks forward to seeing the Agency's new procurement criteria for assessing organizations' gender expertise. [9/96]

done

B. New Partnerships Initiative

1. Documents used in promoting NPI and criteria used in selecting NPI leading edge missions should emphasize the empowerment of women. [10/95]

not done

C. Missions and Post-Beijing Follow-up

1. Missions should review the outcomes of the appropriate regional PrepComs for the UN Fourth World Conference on Women, in order to ascertain the concerns of host governments and NGOs; and should host post-Beijing consultations with partners. [10/95]

Done in part
and ongoing**III. CIVIL SOCIETY AND NGOS**

1. Senior attention needs to be paid to the issue of program integration across the Centers' and all of USAID's activities; ACVFA encourages creation of new mechanisms to encourage greater program integration via the grassroots participation of PVOs and NGOs. [10/94 and 6/96]

Done in part
and ongoing

2. Recognizing that civil society cuts across all sectors, USAID's operational definition of civil society should be broadened, in theory and practice, beyond the current emphasis on its contribution to national democracy and governance. [12/95 and 6/96]

Done in part
and ongoing

3. USAID policy and programs should acknowledge that democracy begins with grassroots empowerment, regardless of the sector. USAID and PVO efforts to strengthen civil society should reflect the fact that civil society is both a means to achieving broader reform of democratic institutions and an end in itself. [12/95 and 6/96]

STATUS

4. Democracy Center and PPC staff should meet with ACVFA to discuss a) the Democracy Center's operational definition of "civil society" and its impact on DG programs, b) the draft guidelines on civil society and c) the role of the New Partnerships Initiative in helping to achieve cross-sectoral integration across the sustainable development sectors of environment, human capacity building, and population, health and nutrition. [6/96]

done**IV. GENERAL AND MISCELLANEOUS****A. Public Outreach**

1. Work with other internationally focused agencies in the Executive branch. [1/95]
2. Press for and publicize Administration support for foreign assistance. [1/95]
3. Emphasize traditional bi-partisan support for foreign assistance. [1/95]
4. Continue support for development education. [1/95]
5. Sustain Lessons Without Borders linkages, and "franchise" Lessons Without Borders to local organizations with ongoing programs and community presence. [1/95]
6. USAID should provide better access to the outreach resources it has available, to assist PVOs in being more proactive in their outreach and education efforts. [3/96]
7. USAID should encourage the Administration to increase its funding request for the Biden-Pell grants program. [3/96]
8. USAID and the Department of Commerce should examine opportunities for collaborative outreach to the U.S. business community. [3/96]
9. USAID and PVOs should encourage their colleagues from developing countries (e.g., Washington embassy staff) to communicate to the media and other key sectors of the U.S. public on the mutual benefits of foreign assistance. [3/96]

done**done****done****done****in progress****done; PVC and LPA resource lists mailed to all PVOs****not done****unclear****not done**

STATUS

asked, but GC ruled it
cannot advise PVOs

10. USAID should ask the General Counsel to review the impact of the new Lobbying Disclosure Law on grassroots activity, and should advise PVOs on permissible outreach activities as well as communication with Congress by PVO staff and supporters or members. [3/96]

response letter agrees

B. Appointment of the Next Advisory Committee

1. There should be no hiatus between the current and successor ACVFAs. The next Committee should be in place for a public, quarterly meeting in early autumn 1997. [3/97]

response letter agrees

2. To ensure continuity, the Administrator should follow precedent of reappointing some current members, if only for the near term. [3/97]

response letter agrees

3. ACVFA membership would benefit from greater diversity, i.e., from individuals affiliated with smaller PVOs and PVOs located well “outside the beltway,” from individuals affiliated with universities and private foundations, and from members drawn from the business sector. [3/97]

C. USAID Draft Strategic Plan

revised Plan due
in July '97

1. The USAID mission statement should parallel the authorizing legislation and focus more explicitly on poverty alleviation and people-centered development. [3/97]

revised Plan due
in July '97

2. The USAID mission statement should include reference to USAID’s comparative advantages and relationships in the field. [3/97]

revised Plan due
in July '97

3. Cross-cutting goals emphasizing the importance of women’s empowerment and of civil society would strengthen the Plan and provide needed coherence and integration among activities. [3/97]

revised Plan due
in July '97

4. The revised Plan should include more emphasis on mainstreaming NPI. [3/97]

revised Plan due
in July '97

5. The Plan’s footnoted definition of “NGO” should not include for-profit entities; where necessary, the Plan should use the term “Agency partners,” which includes for-profits. [3/97]

STATUS**D. Multilateral Donors and NGOs**

1. Encourage the formation of donor consortia, particularly for capacity building efforts and endowments, in order to help provide PVOs with more diverse funding sources. Utilize such consortia to encourage other donors, particularly multilateral donors that receive U.S. foreign assistance monies, to support and facilitate PVO/NGO development activities. [4/95]
2. Actively engage partners in the multilateral and bilateral donor community to replicate the NGO empowerment features of NPI, and draw upon lessons learned in this regard by other bilateral, multilateral, and foundation donors. [6/95]

**PVC working
with World
Bank to explore
NGO capacity
building needs**

in progress

E. Global Bureau Issues

1. The Global Bureau should designate a liaison to ACVFA's Partnership Subcommittee, and pending issues should be discussed as necessary at a subsequent Committee meeting. [10/95]
2. ACVFA wishes to be kept informed of the Global Bureau's strategic planning process, especially as it affects PVOs, and recommends that the Bureau consult with ACVFA. [10/94]

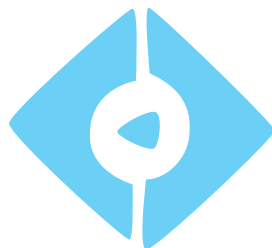
**liaison
designated**

done in part

COMMITTEE BACKGROUND

The Advisory Committee on Voluntary Foreign Aid has long served as a link between the U.S. Government and U.S. private voluntary organizations active in relief, rehabilitation and development overseas. First operational as the President's Commission on War Relief Agencies in 1941 and renewed the following year as the War Relief Board, the Advisory Committee was established by Presidential Directive on May 14, 1946.

Advisory Committee members are private American citizens with a wealth of experience and deep personal interest in international development. They are appointed by and provide advice to the Administrator of the U.S. Agency for International Development (USAID), whom they serve without compensation. Committee members bring with them differing perspectives and expertise that serve to broaden the context within which they raise questions and provide recommendations to the Administrator.



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